

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Richard M. Knox; Dale S. Walker

Serial No.: To Be Assigned

Filed: Concurrently Herewith

For: METHODS OF FORMING LOCALIZED POSITIVE OPTICAL POWER UNITS IN A
SUBSTRATE

April 14, 2004

Mail Stop PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

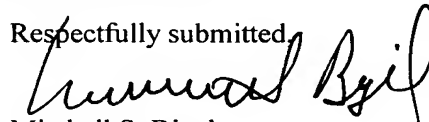
INFORMATION DISCLOSURE STATEMENT

Sir:

Attached is a copy of 4 form(s) PTO-1449 as filed in parent application serial number 10/120,785, with the application serial number and filing date of the parent application struck through. In addition, a form PTO 1449 is attached with a list of references cited by the Examiner on form PTO 892 in the prosecution of the parent application. A copy of each of the references above has been submitted to, or cited by, the Examiner in the parent application and is not provided herewith. It is requested that all of these documents be considered by the Examiner and officially made of record in accordance with the provisions of 37 C.F.R. §1.56 and Section 609 of the MPEP.

No fee is believed due. However, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-0220.

Respectfully submitted,



Mitchell S. Bigel

Registration No. 29,614

Myers Bigel Sibley & Sajovec, P.A.

P. O. Box 37428, Raleigh, NC 27627

Telephone: (919) 854-1400

Facsimile: (919) 854-1401

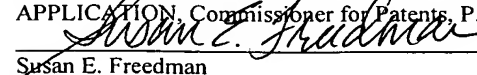
Customer No. 20792

CERTIFICATE OF EXPRESS MAILING

Express Mail Label No. EV 381441406 US

Date of Deposit: April 14, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to: Mail Stop PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Susan E. Freedman

Date of Signature: April 14, 2004

LIST OF PRIOR ART CITED BY APPLICANT

(PTO-1449)

ATTY. DOCKET NO.

~~DUKE-001061P1~~

APPLN. SERIAL NO.

~~10/120785~~ TO BE ASSIGNED

APPLICANT(S) 5405-316CTIPDV

Richard M. KNOX and Dale S. Walker

FILING DATE Concurrently

~~April 12, 2002~~

GROUP

~~2854~~

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
<i>cr</i>	6,278,546	08/2001	Dubin et al.	359	456	
<i>cr</i>	5,932,342	08/1999	Zeira et al.	428	327	
<i>cr</i>	5,877,893	03/1999	Kim	359	456	
<i>cr</i>	5,877,874	03/1999	Rosenberg	359	15	
<i>cr</i>	5,796,499	08/1998	Wenyon	359	15	
<i>cr</i>	5,695,895	12/09/97	Johnson et al.	430	5	
<i>cr</i>	5,692,820	12/02/97	Gale et al.	359	455	
<i>cr</i>	5,688,064	11/18/97	Shanks	403	24	
<i>cr</i>	5,686,793	11/11/97	Turner et al.	313	570	
<i>cr</i>	5,682,080	10/28/97	Dolan et al.	313	570	
<i>cr</i>	5,670,842	09/23/97	Dolan et al.	313	570	
<i>cr</i>	5,644,431	7/1997	Magee	359	619	
<i>cr</i>	5,661,531	8/1997	Greene et al.	349	73	
<i>cr</i>	5,626,800	05/06/97	Williams et al.	264	1.38	
<i>cr</i>	5,612,820	03/18/97	Schrenk et al.	359	498	
<i>cr</i>	5,615,045	03/1997	Takuma et al.	359	456	
<i>cr</i>	5,606,220	02/25/97	Dolan et al.	313	637	
<i>cr</i>	5,573,324	11/12/96	DeVann	353	77	
<i>cr</i>	5,563,738	10/08/96	Vance	359	614	

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No
<i>cr</i>	WO 9727606	07/31/97	WIPO				
<i>cr</i>	EP 0 657 769 A1	12/05/94	WIPO				
<i>cr</i>	94/29768	12/22/94	WIPO				
<i>cr</i>	EP 0488 590 A1	11/21/91	WIPO				
<i>cr</i>	97/03956.4	11/05/97	Australia Austria				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>cr</i>	Joubert, C. et al., "Dispersive Holographic Microlens Matrix For Single LCD Protection", SPIE Vol. 2650, p. 243-252 (03/96).
<i>cr</i>	Parfenov, A.V. and Putilin, Andrey, "Advanced Optical Schemes With Liquid Crystal Image Converters For Display Applications" SPIE Vol. 2650, pp. 173-179 (July 1996).
<i>cr</i>	Gambogi, W.J., et al., "Color Holography Using DuPont Holographic Recording Films", SPIE, Vol. 2405 pp. 62-73 (01/95).

EXAMINER

DATE CONSIDERED

8/8/03

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

LIST OF PRIOR ART CITED BY
APPLICANT

ATTY. DOCKET NO.

~~DUKE-0010CTPT~~

APPLN. SERIAL NO.

~~40420788~~ TO BE ASS ~~6420~~APPLICANT(S) ~~5405316CTIPDV~~

Richard M. KNOX and Dale S. Walker

FILING DATE ~~Concurrently~~ GROUP~~April 12, 2002~~~~2854~~

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
<i>C</i>	5,557,343	09/17/96	Yamagishi	348	781	
<i>C</i>	5,504,391	04/02/96	Turner et al.	313	570	
<i>C</i>	5,486,949	01/23/96	Schrenk et al.	359	498	
<i>C</i>	5,467,154	11/14/95	Gale et al.	353	119	
<i>C</i>	5,453,859	09/26/95	Sannohe et al.	359	63	
<i>C</i>	5,442,482	08/1995	Johnson et al.	359	619	
<i>C</i>	5,404,076	04/04/95	Dolan et al.	313	572	
<i>C</i>	5,381,309	01/10/95	Borchardt	362	31	
<i>C</i>	5,337,106	08/09/94	Jutamulia et al.	354	152	
<i>C</i>	5,333,072	07/26/94	Willett	359	41	
<i>C</i>	5,223,869	06/29/93	Yanagi	353	78	
<i>C</i>	5,193,015	03/09/93	Shanks	359	53	
<i>C</i>	5,190,370	03/02/93	Miller et al.	362	340	
<i>C</i>	5,122,905	06/16/92	Wheatley et al.	359	586	
<i>C</i>	5,122,906	06/16/92	Wheatley	359	586	

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No
<i>C</i>	EP9630 9443	04/21/97	EPO Search				
<i>C</i>	3-243932(A)	02/22/90	Japan				
<i>C</i>	WO 95/34832	12/1995	WIPO				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>C</i>	Armstrong, D. Tipon and Stevenson, S., "Improved Process of Reflection Holography Replication and Heat Processing," SPIE Vol. 2176 Practical Holography VIII, pp. 172-183 (1994).
<i>C</i>	Gambogi, W. et al., "HOE Imaging in DuPont Holographic Photopolymers", SPIE Vol. 2152, pp. 282-293. (06/94).
<i>C</i>	Gambogi, W., et al., "Advances and Applications of DuPont Holographic Photopolymers", SPIE Vol. 2043, pp. 2-13 (1993).

EXAMINER

DATE CONSIDERED

8/8/03

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

LIST OF PRIOR ART CITED BY APPLICANT

(PTO-1449)

ATTY. DOCKET NO.

DUKE-0010CTPT

5405-316CTPDV

APPLN. SERIAL

NO. TO BE ASSIGNED

10420,785

APPLICANT(S)

Richard M. KNOX and Dale S. Walker

FILING DATE

April 12, 2002

Concurrent

GROUP

2851

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
<i>C</i>	5,054,885	10/08/91	Melby	359	618	
<i>a</i>	4,969,732	11/13/90	Wright et al.	353	77	
<i>a</i>	4,961,642	10/09/90	Ogino	353	38	
<i>C</i>	4,874,228	10/17/89	Aho et al.	350	345	
<i>a</i>	4,799,137	01/17/89	Aho	362	309	
<i>C</i>	4,773,731	09/1988	Goldenberg et al.	359	457	
<i>C</i>	4,523,849	06/18/85	Stone	356	369	

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>C</i>	Gambogi, W., et al. "Diffractive Printing Methods Using Volume Holograms", IS&T/SPIE 1993, Intl. Conf. on Electronic Imaging Conf.
<i>C</i>	Gambogi, W., et al. "Holographic Transmission Elements Using Improved Photopolymer Films", SPIE Vol. 1555 Computer and Optically Holographic Optics (Fourth in a Series), pp 256-266 (1991).
<i>C</i>	Weber, Andrew M., et al. "Hologram Recording in DuPont's New Photopolymer Materials" Practical Holography IV, SPIE OE/Lase Conference Proceedings, (1990)
<i>C</i>	Weber, Andrew M. et al., "Hologram Recording in DuPont's New Photopolymer Materials", SPIE Vol. 1212 Practical Holography IV, pp 30-39 (1990)

EXAMINER

C E E

DATE CONSIDERED

8/8/03

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Substitute form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/120,785 TO BE ASSIGNED
		Filing Date	04/12/2002 CONCURRENTLY
		First Named Inventor	Richard M. Knox
		Group Art Unit	2854
		Examiner Name	Christopher E. Mahoney
Sheet 1 of 1	Attorney Docket Number	5405-316CTIP DV	

U.S. PATENTS AND PATENT PUBLICATIONS					
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code (if known)		
<i>h</i>	1.	US-6,410,213	B1	Raguin et al.	06/25/2002
<i>h</i>	2.	US-2002/0034710	A1	Morris et al.	03/21/2002
<i>h</i>	3.	US-2002/0034014	A1	Gretton et al.	03/21/2002
<i>h</i>	4.	US-2002/0145797	A1	Sales	10/10/2002
<i>h</i>	5.	US-6,335,828	B1	Hashimoto et al.	01/01/2002
	6.	US-5,496,668		Guckel et al.	03/05/1996
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Office	Number	Kind Code (if known)		
<i>h</i>	7.	JP	11-101902	A	Goyo Paper	04/13/1999
<i>h</i>	8.	JP	10-239503	A	Sharp Corp	09/11/1998
<i>h</i>	9.	JP	10-123623	A	Casio Comput Co Ltd.	05/15/1998
<i>h</i>	10.	JP	10-39769	A	Toray Ind Inc.	02/13/1998

OTHER NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		
<i>h</i>	11.	Love et al., Microscope Projection Photolithography for Rapid Prototyping of Masters With Micron-Scale Features for Use in Soft Lithography, Langmuir, Vol. 17, 2001, pp. 6005-6012		

Examiner Signature	<i>h</i>	Date Considered	March 1, 2004
--------------------	----------	-----------------	---------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	To Be Assigned
				Filing Date	Concurrently Herewith
				First Named Inventor	Richard M. Knox
				Group Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	5405-316CTIPDV

U.S. PATENTS AND PATENT PUBLICATIONS					
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code (if known)		
	1.	US-5,933,276		Magee	08/03/1999
	2.	US-4,418,986		Yata et al.	12/06/1983
	3.	US-4,490,010		Honda et al.	12/25/1984
	4.	US-6,594,079	B1	Trott et al.	07/15/2003
	5.	US-4,666,248		van de Ven	05/19/1987
	6.	US-4,172,219		Deml et al.	10/23/1979
	7.	US-5,870,224		Saitoh et al.	02/09/1999
	8.	US-6,301,051	B1	Sankur	10/09/2001
	9.	US-4,083,626		Miyahara et al.	04/11/1978
	10.	US-4,268,118		Palmquist et al.	05/19/1981
	11.	US-5,642,226		Rosenthal	06/24/1997
	12.	US-5,337,179		Hodges	08/09/1994

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T
		Office	Number	Kind Code (if known)			
	13.						
	14.						
	15.						
	16.						

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.